

ATTORNEY DOCKET NO.: PHX-0038

APPLICATION NO.  
10/045,317

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

APPLICANT: Renyuan GAO et al.

FILING DATE: 7 November 2001

GROUP ART UNIT:  
Not Yet Assigned

Sheet 1 of 2

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

EX. INIT <sup>*</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		Number	Kind Code <sup>2</sup>				
SP	1	4,105,298	B1	Levine et al.	08-08-1978		
	2	4,838,634	B1	Bennion et al.	06-13-1989		
	3	5,046,800	B1	Blyer, Jr. et al.	09-10-1991		
	4	5,094,517	B1	Franke	03-10-1992		
	5	5,166,993	B1	Blyer, Jr. et al.	11-24-1992		
	6	5,462,880	B1	Kane et al.	10-31-1995		
	7	5,974,214	B1	Shacklette et al.	10-26-1999		
	8	6,086,999	B1	Ilvashenko	07-11-2000		
GP	9	6,087,000	B1	Girgis et al.	07-11-2000		

## FOREIGN PATENT DOCUMENTS

EX. INIT <sup>*</sup>	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup>				

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

EX. INIT <sup>*</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume/issue number(s), publisher, city and/or country where published.	T <sup>6</sup>
SP	10	N. KEIL et al., "Athermal all-polymer arrayed-waveguide grating multiplexer", Electronics Letters, 26 April 2001, Vol. 37, No. 9.	
SP	11	N. Keil et al., "Athermal polarization-independent all-polymer arrayed waveguide grating (AWG) multi-demultiplexer", Optical Society of America, 2000, pp. PD7-1 to PD7-3.	

Examiner  
Signature

Sung Park

Date  
Considered

7/22/03

**\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.**

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard S.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

APPLICANT: Renyuan GAO et al.

 Sheet 2 of 2  
 (Use several sheets if necessary)

FILING DATE: 7 November 2001

GROUP ART UNIT:  
Not Yet Assigned

## U.S. PATENT DOCUMENTS

EX. INIT <sup>*</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup>			
EP	12	6,100,371	B1	Suh et al.	08-08-2000	
	13	6,102,905	B1	Baxter et al.	08-15-2000	
	14	6,133,472	B1	Nalewajek et al.	10-17-2000	
	15	6,157,757	B1	Giaretta et al.	12-05-2000	
	16	6,226,429	B1	Hikita et al.	05-01-2001	
	17	6,229,949	B1	Ido et al.	05-08-2001	
U	18	6,238,791	B1	Schell et al.	05-29-2001	
JP	19	6,245,412	B1	Choquette et al.	06-12-2001	

## FOREIGN PATENT DOCUMENTS

EX. INIT <sup>*</sup>	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup>				

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

EX. INIT <sup>*</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume/issue number(s), publisher, city and/or country where published.	T <sup>6</sup>

Examiner  
Signature

Sung Pak

Date  
Considered

7/22/03

**\*EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard S.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.